

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 042390P6636DC

(maximum 12 characters)

First Name of Inventor Gang Bai et al.Title: HIGH DIELECTRIC CONSTANT METAL OXIDE GATE DIELECTRICSExpress Mail Label No. EV 336 583 978 US

ADDRESS TO: Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

03940 U.S. PTO
10/646034**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ **Fee Transmittal Form (e.g., PTO/SB/17)**
(Submit an original and a duplicate for fee processing)
2. ☐ **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3. ☒ **Specification (Total Pages 21)**
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table,
or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ **Drawings(s) (35 USC 113) (Total Sheets 3)**
5. ☒ **Oath or Declaration (Total Pages 5)**
 - a. ☐ Newly Executed (Original or Copy)
 - b. ☒ Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 18 completed)
 - i. ☐ **DELETIONS OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
 - c. ☐ Unsigned.
6. ☐ **Application Data Sheet. (37 CFR 1.76)**
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. ☐ Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper

c. _____ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. _____ **Assignment Papers (cover sheet & documents(s))**
10. _____ a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
_____ X _____ b. Power of Attorney
11. _____ English Translation Document (if applicable)
12. _____ X _____ a. Information Disclosure Statement (IDS)/PTO-1449 (or PTO/SB/08)
_____ X _____ b. Copies of IDS Citations
13. _____ X _____ **Preliminary Amendment**
14. _____ X _____ **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**
15. _____ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. _____ **Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**
17A. _____ Other: _____

- 17B. _____ X _____ Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet Under 37 C.F.R. 1.76:

_____ X _____ Continuation _____ Divisional _____ Continuation-in-part (CIP)
Of Prior Application No.: 10/304,434 Examiner Richards, N.D. Group Art Unit 2815
(which is a _____ continuation/ _____ divisional/ _____ CIP of prior application no. _____,
which is a _____ continuation/ _____ divisional/ _____ CIP of prior application no. _____) (List entire chain of priority)

Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.
For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. Correspondence Address
_____ Customer Number or Bar Code Label _____
or _____ (Insert Customer No. or Attach Bar Code Label
here)

_____ X _____ Correspondence Address Below

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Signature: *Michael A. Bernadicou*

Date: 8/22/03

08/22/03

TOTAL AMOUNT OF PAYMENT (\$)	\$750.00
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Application No. Not yet assigned

First Named Inventor Gang Bai et al.

Group Art Unit Not yet assigned

Examiner Name Not yet assigned

Attorney Docket No. 042390P6636DC

1. **[X] The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:**

Deposit Account Name _____

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2. X Payment Enclosed: X Check
 Money Order
 Other

1. BASIC FILING FEE

<u>Large Entity</u>		<u>Small Entity</u>			
<u>Fee</u>	<u>Fee</u>	<u>Fee</u>	<u>Fee</u>		
<u>Code</u>	<u>(\$)</u>	<u>Code</u>	<u>(\$)</u>	<u>Fee Description</u>	<u>Fee Paid</u>
1001	740	2001	370	Utility application filing fee	\$750.00
1002	330	2002	165	Design application filing fee	
1003	510	2003	255	Plant filing fee	
1004	740	2004	370	Reissue filing fee	
1005	160	2005	80	Provisional application filing fee	
SUBTOTAL (1)					\$ 750.00

		<u>Extra Claims</u>		<u>below</u>	<u>Fee Paid</u>
Total Claims	<u>3</u>	- 20** =	<u>0</u>	X \$18.00	=
Independent Claims	<u>1</u>	- 3** =	<u>0</u>	X \$84.00	=
Multiple Dependent				\$280.00	=

	Large Entity	Small Entity
1. Number of employees	More than 50	50 or fewer
2. Total assets	More than \$10 million	\$10 million or less
3. Total revenue	More than \$5 million	\$5 million or less
4. Publicly traded securities	Yes	No
5. SEC reporting requirements	Yes	No
6. Complexity of operations	High	Low
7. Geographic diversity	Global	Domestic
8. Industry volatility	High	Low
9. Regulatory environment	Complex	Simpler
10. Risk tolerance	Higher	Lower
11. Financial resources	Abundant	Limited
12. Market position	Leader	Follower
13. Innovation focus	High	Medium/Low
14. Customer base	Diverse	Niche
15. Supply chain complexity	High	Low
16. Talent acquisition	Competitive	Challenged
17. Brand recognition	Strong	Weaker
18. Government relations	Active	Passive
19. Environmental impact	Managed	Unmanaged
20. Social responsibility	Integrated	Separate
21. Data security	Robust	Basic
22. Cybersecurity measures	Advanced	Standard
23. Intellectual property protection	Stringent	Relaxed
24. Compliance programs	Comprehensive	Minimal
25. Crisis management plans	Detailed	Simplified
26. Stakeholder engagement	Proactive	Reactive
27. Sustainability goals	Ambitious	Modest
28. Digital transformation	Aggressive	Cautious
29. Research & Development	Significant	Reduced
30. Marketing budget	Generous	Constrained
31. Sales channels	Multiple	Limited
32. Customer loyalty programs	Extensive	Simple
33. Supplier relationships	Strategic	Tactical
34. Inventory management	Optimized	Basic
35. Logistics efficiency	High	Variable
36. Production quality control	Rigorous	Flexible
37. Labor union presence	Common	Uncommon
38. Employee benefits packages	Comprehensive	Basic
39. Training and development	Investment	Minimal
40. Organizational culture	Defined	Emerging
41. Internal communication	Open	Restricted
42. External communication	Transparent	Opaque
43. Reputation management	Active	Passive
44. Legal counsel involvement	Frequent	Infrequent
45. Tax strategy complexity	High	Low
46. Insurance coverage	Extensive	Basic
47. Disaster recovery plans	Detailed	Simplified
48. Business continuity plans	Robust	Basic
49. Vendor selection process	Rigorous	Simple
50. Contract management	Systematic	Ad-hoc
51. Procurement efficiency	High	Variable
52. Quality assurance processes	Stringent	Flexible
53. Customer feedback loops	Active	Passive
54. Product lifecycle management	Comprehensive	Basic
55. Innovation pipeline	Pipeline full	Pipeline thin
56. Patent portfolio strength	Strong	Weak
57. Trademark protection	Thorough	Minimal
58. Trade secret safeguards	Robust	Basic
59. Data privacy policies	Strict	Lenient
60. Information security protocols	Advanced	Standard
61. Incident response procedures	Detailed	Simplified
62. Business ethics training	Mandatory	Optional
63. Diversity and inclusion initiatives	Active	Passive
64. Corporate social responsibility reports	Annual	None
65. Environmental impact assessments	Regular	Occasional
66. Safety protocols	Stringent	Basic
67. Emergency preparedness drills	Regular	Infrequent
68. Health and safety records	Well-maintained	Spotty
69. Regulatory compliance audits	Frequent	Infrequent
70. Internal controls systems	Robust	Basic
71. Fraud prevention measures	Advanced	Standard
72. Anti-money laundering policies	Comprehensive	Minimal
73. Know Your Customer (KYC) checks	Thorough	Basic
74. Sanctions screening	Active	Passive
75. Beneficial ownership disclosures	Complete	Incomplete
76. Transparency in financial reporting	High	Low
77. Timeliness of financial statements	Fast	Slow
78. Accuracy of financial data	High	Variable
79. Audit firm independence	Guaranteed	Questionable
80. Auditor qualifications	Top-tier	Mid-tier
81. Scope of audit engagements	Broad	Narrow
82. Audit findings resolution	Swift	Delayed
83. Management's attitude towards audits	Cooperative	Defensive
84. Board oversight of financial reporting	Active	Passive
85. Executive compensation transparency	High	Low
86. Shareholder activism response	Responsive	Unresponsive
87. Institutional investor relations	Strong	Weak
88. Analyst coverage	Extensive	Limited
89. Credit rating agency interactions	Frequent	Infrequent
90. Bond issuance history	Successful	Problematic
91. Loan covenants strictness	Relaxed	Strict
92. Debt maturity profile	Long-term	Short-term
93. Equity dilution frequency	Low	High
94. Share repurchase programs	Active	Inactive
95. Dividend payout ratio	Steady	Irregular
96. Earnings per share growth	Consistent	Volatile
97. Return on equity stability	High	Low
98. Operating leverage management	Optimal	Sub-optimal
99. Capital expenditure discipline	High	Low
100. R&D as % of sales	High	Low
101. Market share percentage	High	Low
102. Competitive advantage sustainability	Strong	Weak
103. New market entry strategies	Aggressive	Cautious
104. Mergers and acquisitions activity	Active	Passive
105. Joint venture success rate	High	Low
106. Strategic alliances effectiveness	High	Low
107. Acquisition integration speed	Fast	Slow
108. Post-merger synergy realization	High	Low
109. Divestiture decision-making	Strategic	Emotional
110. Exit strategy clarity	Clear	Unclear
111. Succession planning for leadership	Robust	Basic
112. Board refreshment cycle	Regular	Irregular
113. Director independence percentage	High	Low
114. Executive search firm reputation	Top-tier	Mid-tier
115. Compensation committee effectiveness	High	Low
116. Pay ratio disclosure accuracy	High	Low
117. Gender pay gap analysis	Conducted	Not conducted
118. LGBTQ+ employee resource groups	Active	Passive
119. Veterans' hiring initiatives	Active	Passive
120. Disability inclusion programs	Comprehensive	Minimal
121. Career advancement opportunities	Many	Few
122. Mentorship programs	Established	New
123. Professional development budgets	Generous	Constrained
124. Cross-functional collaboration	Encouraged	Discouraged
125. Knowledge sharing mechanisms	Effective	Ineffective
126. Innovation incubators	Present	Absent
127. Venture capital partnerships	Active	Passive
128. Startup ecosystem engagement	High	Low
129. Open innovation practices	Adopted	Rejected
130. Crowdfunding campaigns	Successful	Unsuccessful
131. Peer-to-peer financing exploration	Active	Passive
132. Blockchain technology adoption	Early	Late
133. Artificial intelligence implementation	Advanced	Basic
134. Cloud migration progress</		

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	**Reissued independent claims over original patent
1205	18	2205	9	**Reissued claims in excess of 20 and over original patent
				SUBTOTAL (2) \$ 0.00

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Code</u>	<u>Fee (\$)</u>	<u>Code</u>	<u>Fee (\$)</u>		
1051	130	2051	65	Surcharge - late filing fee or oath	_____
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	_____
1053	130	1053	130	Non-English specification	_____
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	_____
1813	8,800	1813	8,800	Request for inter parties reexamination	_____
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	_____
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	_____
1251	110	2251	55	Extension for reply within first month	_____
1252	400	2252	200	Extension for reply within second month	_____
1253	920	2253	460	Extension for reply within third month	_____
1254	1,440	2254	720	Extension for reply within fourth month	_____
1255	1,960	2255	980	Extension for reply within fifth month	_____
1401	320	2401	160	Notice of Appeal	_____
1402	320	2402	160	Filing a brief in support of an appeal	_____
1403	280	2403	140	Request for oral hearing	_____
1451	1,510	1451	1,510	Petition to institute a public use proceeding	_____
1452	110	2452	55	Petition to revive - unavoidable	_____
1453	1,280	2453	640	Petition to revive - unintentional	_____
1501	1,280	2501	640	Utility issue fee (or reissue)	_____
1502	460	2502	230	Design issue fee	_____
1503	620	2503	310	Plant issue fee	_____
1460	130	1460	130	Petitions to the Commissioner	_____
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	_____
1806	180	1806	180	Submission of Information Disclosure Stmt	_____
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	_____
1809	740	2809	370	For filing a submission after final rejection (see 37 CFR 1.129(a))	_____
1814	110	2814	55	Statutory Disclaimer	_____
1810	740	2810	370	For each additional invention to be examined (see 37 CFR 1.129(b))	_____
1801	740	2801	370	Request for Continued Examination (RCE)	_____
1802	900	1802	900	Request for expedited examination of a design application	_____
1504	300	1504	300	Publication fee for early, voluntary, or normal pub.	_____
1505	300	1505	300	Publication fee for republication	_____
1803	130	1803	130	Request for voluntary publication or republication	_____
1808	130	1808	130	Processing fee under 37 CFR 1.17(i) (except provisionals)	_____
1454	1,280	1454	1,280	Acceptance of unintentionally delayed claim for priority	_____

Other fee (specify) _____

Other fee (specify) _____

SUBTOTAL (3) \$ 0.00

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:Typed or Printed Name: Michael A. BernadicouSignature:  Date: 9/22/03Reg. Number: 35,934 Telephone Number: (408) 720-8300